

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. PRU-103US

First Inventor Kevin K. Lehmann

Title TAPERED FIBER OPTIC STRAIN GAUGE USING CAVITY RING-DOWN SPECTROSCOPY

Express Mail Label No. EV351885542US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 31]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 19]
5. Oath or Declaration [Total Pages 3]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c. ☐ Unexecuted Declaration
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Commissioner for Patents  
Mail Stop Patent Application  
P.O. Box 1450  
Alexandria, VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ 2 Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Certificate of Mailing by "Express Mail"  
(Mailing Label No.: EV351885542US)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No. 10 / 157,400

Prior application information Examiner

Group / Art Unit: 1743


For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Insert Customer Number 23122

OR ☐ Correspondence address below

|         |                          |           |                |          |                |
|---------|--------------------------|-----------|----------------|----------|----------------|
| Name    | RatnerPrestia            |           |                |          |                |
| Address | P.O. Box 980             |           |                |          |                |
| City    | Valley Forge             | State     | PA             | Zip Code | 19482          |
| Country | United States of America | Telephone | (610) 407-0700 | Fax      | (610) 407-0701 |

|                   |   |                                   |                 |
|-------------------|---|-----------------------------------|-----------------|
| Name (Print/Type) | Jacques L. Etkowicz   | Registration No. (Attorney/Agent) | 41,738          |
| Signature         |  | Date                              | August 20, 2003 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Mail Stop Patent Application, P.O. Box 1450, Alexandria, VA 22313-1450.

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01576 U.S.PTO  
10/644137



# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 861

## Complete if Known

|                      |                          |
|----------------------|--------------------------|
| Application Number   | To be Assigned           |
| Filing Date          | Herewith                 |
| First Named Inventor | Kevin K. Lehmann et. al. |
| Examiner Name        | Not Yet Assigned         |
| Art Unit             | Unknown                  |
| Attorney Docket No.  | PRU-103US                |

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money ☐ Other ☐ None  
Order

☒ Deposit Account:

Deposit Account Number: 18-0350  
Deposit Account Name: RatnerPrestia

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below  
☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|--------------|--------------|----------|----------|------------------------|----------|
|              |              | 1001     | 750      | Utility filing fee     | 375      |
|              |              | 1002     | 330      | Design filing fee      |          |
|              |              | 1003     | 520      | Plant filing fee       |          |
|              |              | 1004     | 750      | Reissue filing fee     |          |
|              |              | 1005     | 160      | Provisional filing fee |          |
| SUBTOTAL (1) |              |          |          |                        | (\$) 375 |

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 54                 | -20** = 34   | X 9 = 306      |          |
| Independent Claims | 3            | -3** = 0       | X = 0    |
| Multiple Dependent |              | X 140 = 140    |          |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description  |
|--------------|--------------|----------|----------|--|
|              |              | 1202     | 18       | Claims in excess of 20                                     |
|              |              | 2001     | 84       | Independent claims in excess of 3                          |
|              |              | 2203     | 280      | Multiple dependent claim, if not paid                      |
|              |              | 2204     | 84       | ** Reissue independent claims over original patent         |
|              |              | 2205     | 18       | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 448

\*\*or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

| Large Entity                      | Small Entity | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|-----------------------------------|--------------|----------|----------|--|----------|
|                                   |              | 1051     | 130      | 2051 65 Surcharge - late filing fee or oath  |          |
|                                   |              | 1052     | 50       | 2052 25 Surcharge - late provisional filing fee or cover sheet                     |          |
|                                   |              | 1053     | 130      | 1053 130 Non-English specification   |          |
|                                   |              | 1812     | 2,520    | 1812 2,520 For filing a request for ex parte reexamination                         |          |
|                                   |              | 1804     | 920*     | 1804 920* Requesting publication of SIR prior to Examiner action                   |          |
|                                   |              | 1805     | 1,840*   | 1805 1,840* Requesting publication of SIR after Examiner action                    |          |
|                                   |              | 1251     | 110      | 2251 55 Extension for reply within first month                                     |          |
|                                   |              | 1252     | 410      | 2252 205 Extension for reply within second month                                   |          |
|                                   |              | 1253     | 930      | 2253 465 Extension for reply within third month                                    |          |
|                                   |              | 1254     | 1,450    | 2254 725 Extension for reply within fourth month                                   |          |
|                                   |              | 1255     | 1,970    | 2255 985 Extension for reply within fifth month                                    |          |
|                                   |              | 1401     | 320      | 2401 160 Notice of Appeal  |          |
|                                   |              | 1402     | 320      | 2402 160 Filing a brief in support of an appeal                                    |          |
|                                   |              | 1403     | 280      | 2403 140 Request for oral hearing  |          |
|                                   |              | 1451     | 1,510    | 1451 1,510 Petition to institute a public use proceeding                           |          |
|                                   |              | 1452     | 110      | 2452 55 Petition to revive - unavoidable   |          |
|                                   |              | 1453     | 1,300    | 2453 650 Petition to revive - unintentional  |          |
|                                   |              | 1501     | 1,300    | 2501 650 Utility issue fee (or reissue)  |          |
|                                   |              | 1502     | 470      | 2502 235 Design issue fee  |          |
|                                   |              | 1503     | 630      | 2503 315 Plant issue fee   |          |
|                                   |              | 1460     | 130      | 1460 130 Petitions to the Commissioner   |          |
|                                   |              | 1807     | 50       | 1807 50 Processing fee under 37 CFR 1.17(q)  |          |
|                                   |              | 1808     | 180      | 1808 180 Submission of Information Disclosure Stmt                                 |          |
|                                   |              | 8021     | 40       | 8021 40 Recording each patent assignment per property (times number of properties) | 40       |
|                                   |              | 1809     | 750      | 2809 375 Filing a submission after final rejection (37 CFR § 1.129(a))             |          |
|                                   |              | 1810     | 750      | 2810 375 For each additional invention to be examined (37 CFR § 1.129(b))          |          |
|                                   |              | 1801     | 750      | 2801 375 Request for Continued Examination (RCE)                                   |          |
|                                   |              | 1802     | 900      | 1802 900 Request for expedited examination of a design application                 |          |
| Other fee (specify)               |              |          |          |  |          |
| *Reduced by Basic Filing Fee Paid |              |          |          |  |          |
| SUBTOTAL (3)                      |              |          |          |  | (\$) 40  |

| SUBMITTED BY      |                     | Complete (if applicable)        |         |           |              |
|-------------------|---------------------|---------------------------------|---------|-----------|--------------|
| Name (Print/Type) | Jacques L. Etkowicz | Registration No. Attorney/Agent | 41,738  | Telephone | 610-407-0700 |
| Signature         |                     | Date                            | 8/20/03 |           |              |

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

01576 U.S. PTO  
01/01/03

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Kevin K. Lehmann, et al.

Docket No.

PRU-103US

Serial No.

To Be Assigned

Filing Date

August 20, 2003

Examiner

To Be Assigned

Group Art Unit

To Be Assigned

Invention: TAPERED FIBER OPTIC STRAIN GAUGE USING CAVITY RING-DOWN SPECTROSCOPY

I hereby certify that the following correspondence:

Continuation-In-Part Patent Application (31 pages)

Utility Transmittal

Fee Transmittal

Executed Declaration (3 pages)

19 Sheets of Drawings

Executed Assignment and PTO-1595 (3 pages)

Information Disclosure Statement

PTO/SB/08a (4 pages)

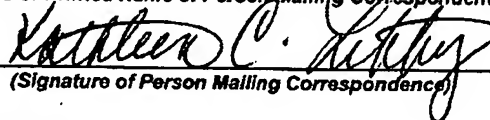
*(Identify type of correspondence)*

Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to:

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Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

on August 20, 2003

Kathleen C. Libby*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EV351885542US*("Express Mail" Mailing Label Number)*

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P06A/REV02